IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Prior application:

Examiner Subramanian, Narayanswami

Art Unit 3624
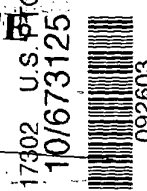
Commissioner for Patents
P.O. Box 1450
Mail Stop PATENT APPLICATION
Alexandria, VA 22313-1450

Sir:

This is a request for filing a ☒ continuation ☐ divisional application under 37 CFR § 1.53(b), of pending prior application no. 09/617,646 filed on July 17, 2000

of   Tull et. al.

(inventor(s) currently of record in prior application)

for   DATA PROCESSING SYSTEM AND METHOD FOR ADMINISTERING FINANCIAL INSTRUMENTS

(title of invention)

1.   ☒   The filing fee is calculated below:

PATENT APPLICATION FEE VALUE

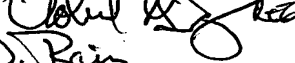| TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE		FEE
Total Claims	14	- 20	0	$18.00 each	$	0.00
Independent	4	- 3	1	$84.00 each	$	84.00
				Minimum Fee	$	750.00
				Multiple Dependency Fee If Applicable ($280.00)	$	0.00
				Total	$	834.00
		Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern			$	0.00
				Total Filing Fee	$	834.00

2.   ☒   Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

3.   ☒   Amend the specification by replacing the first paragraph starting on line 4 with the following: This is a continuation of application Ser. No. 09/617,646 filed on July 17, 2000, which is a continuation of application Ser. No. 09/313,155 filed on May 17, 1999, which is a continuation of application Ser. No. 09/071,437, filed on May 1, 1998, now U.S. Pat. No. 5,946,667, which is a continuation of application serial number 08/223,797, filed April 6, 1994, abandoned.

4a.   ☒   New formal drawings are enclosed.

4b.   ☐   Informal drawings are enclosed.

5a. ☒ Priority of application Ser. No. 09/617,646 filed July 17, 2000 in The United States is claimed under 35 U.S.C. §120.

5b. ☐ The certified copy has been filed in prior application no.   , filed   .

6. ☒ The prior application is assigned of record to Morgan Stanley Dean Witter.

7a. ☒ A copy of the Power of Attorney filed in the prior application no. 09/617,646, filed July 17, 2000 is enclosed.

7b. ☐ A Power of Attorney is enclosed.

8. ☐ This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no., filed on be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. is enclosed.

9. ☐ The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. is the same as the content of the computer readable form submitted in application no. .

10. ☐ DO NOT PUBLISH. I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

11. ☒ Additional enclosures or instruction: Photocopy of Petition Under 37 C.F.R. § 1.47(a) with attachments in the application Ser. No. 08/223,797 filed April 6, 1994.

Respectfully submitted,

Reg. No. 45,755

Date September 26, 2003

Barry D. Rein
PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, New York 10036-2711

22,411
(Reg. No.)

Please type a plus (+) inside this box   [+]

UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	6925-312-999	Total Pages	55

First Named Inventor or Application Identifier

Robert Stanley Tull, Jr.

Express Mail Label No.	EV335857018US

APPLICATION ELEMENTS
See MPEP chapters 600 concerning utility patent application contents.

Address to: **Commissioner for Patents
P.O. Box 1450
Mail Stop PATENT APPLICATION
Alexandria, VA 22313-1450**

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims Small Entity status, see 37 C.F.R. § 1.27

3. ☒ Specification   [Total Pages 26]

(preferred arrangement set forth below, MPEP 1503.01)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R&D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description of the Invention (including drawings, if filed)
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) *(35 USC 113)*   [Total Sheets 7]

5. ☒ Oath or Declaration   [Total Sheets 4]

   a. ☐ Newly executed (original or copy)

   b. ☒ Copy from a prior application (37 CFR 1.63(d))
   (for continuation/divisional with Box 18 completed)

      i. ☐ DELETION OF INVENTOR(S)
      Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
   a. ☐ Computer Readable Form (CRF)
   b. ☐ Specification Sequence Listing on:
      i. ☐ CD-ROM or CD-R (2 copies); or
      ii. ☐ paper
   c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement *(when there is an assignee)*   ☐ Power of Attorney

11. ☐ English Translation Document (if applicable)

12. ☒ Information Disclosure Statement (IDS)/PTO-1449   ☐ Copies of IDS Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*

16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(i). Applicant must attach form PTO/SB/35 or it's equivalent

17. ☒ Other: Photocopy of Petition Under 37 C.F.R. § 1.47(a) with attachments in the application Ser. No. 08/223,797 filed April 6, 1994.

18. If a CONTINUING APPLICATION, *check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:*

☒ Continuation   ☐ Divisional   ☐ Continuation-in-part (CIP) | of prior application No.: 09/617,646 filed July 17, 2000.

Prior application information:	Examiner: Subramanian, Narayanswamy	Group Art Unit:	3624

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number   20583   *Insert Customer No.*   or ☐ Correspondence address below

NAME	
ADDRESS	

CITY		STATE		ZIP CODE	
COUNTRY		TELEPHONE		FAX	

NY2: 1467286.1